

This Addendum supplements the terms of the Affordable Multifamily Program Upstate Participation Agreement. In the event of a conflict in language or terms between this Addendum and the AMP Up Participation Agreement, this Addendum shall prevail.

Disclaimer – NYSERDA does not guarantee that the installation of resilience enhancements will ensure protection of equipment, buildings, or occupants.

Eligibility – Projects meeting certain climate hazard eligibility criteria may be eligible for funding for additional Resilience Enhancements to their selected energy saving measures.

- Projects should refer to the Eligible Measures List on the Program Page for the full eligibility requirements for each Resilience Enhancement measure.
- Floodproofing Resilience Enhancements are mandatory¹ for projects exposed to flood hazard (as defined in the Eligible Measures List) installing any of the following measures:
 - Any Heating and Cooling – Electrification measure
 - Any Hot Water – Electrification measure
 - Advanced Ventilation with Heat or Energy Recovery
- Projects will indicate the Resilience Enhancements they intend to pursue and clarify eligibility for such enhancements during the Scoping Call. Eligibility for any Resilience Enhancement(s) shall be confirmed and specified in the revised Incentive Offer Letter.
- The requirements and incentives associated with each Resilience Enhancement throughout this Addendum apply only for the Resilience Enhancements the Project is eligible for.
- Eligibility for Floodproofing Design Assistance is based on the Participating Contractor’s acceptance into the Climate Resilience Design Professional sub-service category of RFQL 5906 and shall be confirmed and specified in the Incentive Offer Letter. If the Participating Contractor has not been accepted into the Resilience Design Professional service category, a Climate Resilience Design Professional will be assigned to the project to conduct the Floodproofing Design, at the discretion of NYSERDA.

Stage 1, 3, and 4 deadline(s) – If the Participating Contractor is eligible for Floodproofing Design Assistance, the Participating Contractor will have 10 business days after the scoping call to provide a budget for the development of schematic design(s) of any Floodproofing and/or Electrical Panel Elevation Resilience Enhancement(s) for NYSERDA review and approval. This shall be completed as part of the Technical Assistance Plan (TAP) and TAP Budget. Requests for reasonable extension may be considered by NYSERDA at the request of the Participating Contractor.

Additionally, for all projects pursuing Resilience Enhancements, all submission deadline(s) for deliverables may be reasonably extended by request of the Participating Contractor. Requests for extension must be made 30 days before the deadline for deliverables and include justification and expected duration of extension. Reasonable justification could include additional site characterization, engineering design deliverables, and construction documentation associated with required Resilient Enhancement deliverables. Extension requests must be submitted by a physical letter or emailed request from the Participating Contractor to the project’s NYSERDA Project Manager to be approved in writing by NYSERDA if accepted.

¹ NYSERDA reserves the right to exempt projects and will review exemptions on a case-by-case basis.

Incentives Payment Schedule – The Project agrees to the following incentive payment schedules:

- Floodproofing Design Assistance Incentive will be paid out 100% at Stage 1 to eligible Participating Contractors. This incentive is applicable only to the Floodproofing and/or Electrical Panel Elevation Enhancements below and will cover 100% of the floodproofing design subject to NYSERDA review and approval.
- No additional Design Assistance Incentive is offered for other Resilience Enhancements.
- Resilience Enhancements End-Use Incentives will be paid out according to the schedule in Table 1 below.
- For projects in the Low-Rise Pathway, the Stage 2 incentive will be paid out upon approval of Stage 2 deliverables. Stage 2 deliverables can be found in the AMP Up Program Manual.

Table 1: Resilience Enhancements Incentives Payment Schedule

	Measure Classification	Incentive	Stage 1 (Scope Development)	Stage 2 (Construction start)	Stage 3 – Optional (Partial Construction)	Stage 4 (Construction Complete)
TA	Floodproofing Design Assistance	Up to 100% of total cost of developing Floodproofing Schematic Design(s) ^d	100%			
End-Use	Heat Pump Floodproofing	Up to 100% of total cost of floodproofing ^d	Low-Rise Pathway: 25% or Large Building Pathway: 25%	Low-Rise Pathway: 25% or Large Building Pathway: 0%	Low-Rise Pathway: 25% or Large Building Pathway: 40%	Low-Rise Pathway: 25% or Large Building Pathway: 35%
	Heat Pump Water Heater Floodproofing	Up to 100% of total cost of floodproofing ^d				
	Advanced Ventilation Floodproofing	Up to 100% of total cost of floodproofing ^d				
	Electrical Panel Elevation	Low-Rise Pathway: up to 85% of total floodproofing cost Large Building Pathway: up to 70% of floodproofing cost ^d				
	Electrification for Heat Vulnerable Populations	Up to 30% of Heating and Cooling Heat Pumps cost ^d				100%
	Hurricane Resistant Windows	50% of cost premium for hurricane-resistant windows ^d				

a. Percentages in payment milestones relate to the overall implementation incentive that will be paid out to the project at respective periods.

b. All incentives are subject to NYSERDA review and approval and as detailed in the Incentive Offer Letter

c. See Appendix for Table 1 in ADA compliant format.

- d. *Sum of AMP Up Electrification incentive and Electrification for Heat Vulnerable Populations incentive not to exceed 100% of cost of electrification measures*

Maximum Incentive Cap – The combined **total** Resilience Enhancement end-use incentives and Floodproofing Design Assistance incentives may not exceed \$500,000 per Project, subject to NYSEDA review and approval. Eligible project costs include the cost of the recommended improvements as delineated in the Energy Assessment and Scoping Tool and defined in the Program Manual as well as the cost of floodproofing design as delineated in the Floodproofing Schematic Design Cost Estimate.

Additional Documentation – The project agrees it may be required to submit additional documentation for eligibility, design, and installation of the Resilience Enhancements. This may include, but is not limited to, eligibility attestation, measure specifications, construction documents, or mechanical, electrical, and plumbing plans.

Deliverables due within 10 days of Scoping Call

- For projects pursuing any Floodproofing and/or Electrical Panel Elevation Resilience Enhancement(s) where the Participating Contractor is eligible for Floodproofing Design Assistance, the cost and plan for developing the schematic design(s) of any floodproofing Resilience Enhancements shall be submitted as part of the Technical Assistance Plan (TAP) and TAP Budget after the scoping call, for NYSEDA review and approval.
- For projects pursuing any Floodproofing and/or Electrical Panel Elevation Resilience Enhancements where the property is eligible due to past flooding on site, documentation of this past flooding (including photographs, insurance claims, or other) shall be submitted with the Technical Assistance Plan.

Stage 1 Deliverables:

- For projects pursuing any Floodproofing and/or Electrical Panel Elevation Resilience Enhancements, where the Participating Contractor is eligible for Floodproofing Design Assistance, the Floodproofing Schematic Design(s) shall be submitted as part of Stage 1 Deliverables. This design should clearly illustrate the method of floodproofing, the final elevations of the floodproofed components relative to NAVD88 and to the Design Flood Elevation.
- For projects pursuing the Electrification for Heat Vulnerable Populations Resilience Enhancement, an owner-signed Heat Vulnerable Populations Attestation shall be submitted as part of Stage 1 Deliverables. The attestation form can be found on the Program Page.
- All resilience enhancement measure details shall be submitted along with the non-resilience enhancement measures to provide an overall view of the scope of work in the Energy Assessment and Scoping Tool.

Stage 3 or 4 Deliverables:

- For projects pursuing any Floodproofing and/or Electrical Panel Elevation Resilience Enhancements, where the Participating Contractor is eligible for Floodproofing Design Assistance, the Floodproofing As-Built Drawing(s) shall be submitted as part of Stage 3 Deliverables if the project is using the optional Stage 3, or if not, as part of Stage 4 Deliverables. This design should clearly illustrate the floodproofing in its as-built condition, including the final elevations of the floodproofed components relative to NAVD88 and to the Design Flood Elevation.

Consolidated List of Resilience Enhancements Deliverables

Table 2: Resilience Enhancement Deliverables

	Document	Filename Convention	Example
Within 10 days of scoping call	Technical Assistance Plan (TAP) & TAP Budget including the Floodproofing Design task, if applicable (see Program Page)	Project Name - Technical Assistance Plan and Budget.xls	NY Apts - Technical Assistance Plan and Budget.xls
	Documentation of Past Flooding On Site, if applicable (see Program Page)	Project Name – Past Flooding Documentation.pdf	NY Apts – Past Flooding Documentation.pdf
Stage 1	Floodproofing Schematic Design, if applicable (see Program Page)	Project Name – Floodproofing Design_rev0.pdf	NY Apts – Floodproofing Design_rev0.pdf
	Heat Vulnerable Populations Attestation, if applicable (see Program Page)	Project Name – Heat Vulnerable Attestation.pdf	NY Apts – Heat Vulnerable Attestation.pdf
Stage 3 or 4	Floodproofing As-Built Design, if applicable (see Program Page)	Project Name – Floodproofing As-Built Design_rev0.pdf	NY Apts – Floodproofing As-Built Design_rev0.pdf

Appendix

Table A1: Resilience Enhancements Incentives Payment Schedule

Resilience Incentive Category	Incentive Cap (a,b)	Stage 1 (Scope Development)	Stage 2 (Construction start)	Stage 3 - Optional (Partial Construction)	Stage 4 (Construction Complete)
Technical Assistance					
Floodproofing Design Assistance	Up to 100% of total cost of developing Floodproofing Schematic Design(s)	100% of incentive	0%	0%	0%
End-Use Incentives					
Heat Pump Floodproofing	Up to 100% of total cost of floodproofing	Low-Rise Pathway: 25% of incentive or Large Building Pathway: 25% of incentive	Low-Rise Pathway: 25% of incentive or Large Building Pathway: 0%	Low-Rise Pathway: 25% of incentive or Large Building Pathway: 40% of incentive	Low-Rise Pathway: 25% of incentive or Large Building Pathway: 35% of incentive
Heat Pump Water Heater Floodproofing	Up to 100% of total cost of floodproofing	Low-Rise Pathway: 25% of incentive or Large Building Pathway: 25% of incentive	Low-Rise Pathway: 25% of incentive or Large Building Pathway: 0%	Low-Rise Pathway: 25% of incentive or Large Building Pathway: 40% of incentive	Low-Rise Pathway: 25% of incentive or Large Building Pathway: 35% of incentive
Advanced Ventilation Floodproofing	Up to 100% of total cost of floodproofing	Low-Rise Pathway: 25% of incentive or Large Building Pathway: 25% of incentive	Low-Rise Pathway: 25% of incentive or Large Building Pathway: 0%	Low-Rise Pathway: 25% of incentive or Large Building Pathway: 40% of incentive	Low-Rise Pathway: 25% of incentive or Large Building Pathway: 35% of incentive
Electrical Panel Elevation	Low Rise Pathway: up to 85% of total enhancement cost Large Building Pathway: up to 70% of enhancement cost	Low-Rise Pathway: 25% of incentive or Large Building Pathway: 25% of incentive	Low-Rise Pathway: 25% of incentive or Large Building Pathway: 0%	Low-Rise Pathway: 25% of incentive or Large Building Pathway: 40% of incentive	Low-Rise Pathway: 25% of incentive or Large Building Pathway: 35% of incentive
Electrification for Heat Vulnerable Populations	Up to 30% of Heating and Cooling Heat Pumps cost ^c	0%	0%	0%	100% of incentive
Hurricane Resistance Windows	50% of cost premium	0%	0%	0%	100% of incentive

a. Percentages in payment milestones relate to the overall implementation incentive that will be paid out to the project at respective periods.

b. All incentives are subject to NYSERDA review and approval and as detailed in the Incentive Offer Letter.

c. Sum of AMP Up Electrification incentive and Electrification for Heat Vulnerable Populations incentive not to exceed 100% of cost of electrification measures.

